



COPY

In response to Notice to File Missing Parts mailed March 13, 2002, please acknowledge receipt of the accompanying:

- ☒ Copy of Notice to File Missing Parts  
☐ Executed Declaration ☐ Executed Power of Attorney  
☐ Recordation Form Cover Sheet and executed Assignment  
☐ Executed Statement Under 37 CFR 3.73(b)w/copy of executed Assignment ☐ Executed Small Entity Statement  
☐ Preliminary Amendment ☒ Sequence listing, pp. 1-2.  
☒ Statement Under 37 C.F.R. § 1.821(f) and (g)  
☒ Sequence listing in computer readable form  
☒ Other Communication with a copy of the Petition for a one-month u  
extension of time as filed June 4, 2002.

- ☒ Transmittal form (in duplicate)  
☐ Petition for      month Extension of Time (in duplicate)

Applicant's Name Moss and Carlo

Serial Number 10/056,420

Filing Date January 24, 2002

Examiner's Name Unassigned

Group Art Unit 1633

Title METHOD FOR TREATING AN HIV-INFECTED INDIVIDUAL BY COMBINING

IMMUNIZATION WITH STRUCTURED INTERRUPTION OF ANTI-RETROVIRAL TREATMENT

- ☐ Fee \$      Enclosed

☐ Check No.:     

- ☒ Certificate of Express Mail No.: EV 065 745 856 US

Date Mailed: June 11, 2002

Date Due: June 13, 2002

Our Docket No.: P-IM 5158

Client IRC

Attorney/Secretary MKW/rlm

In response to Notice to File Missing Parts mailed March 13, 2002, please acknowledge receipt of the accompanying:

- ☒ Copy of Notice to File Missing Parts  
☐ Executed Declaration ☐ Executed Power of Attorney  
☐ Recordation Form Cover Sheet and executed Assignment  
☐ Executed Statement Under 37 CFR 3.73(b)w/copy of executed Assignment ☐ Executed Small Entity Statement  
☐ Preliminary Amendment ☒ Sequence listing, pp. 1-2  
☒ Statement Under 37 C.F.R. § 1.821(f) and (g)  
☒ Sequence listing in computer readable form  
☒ Other Communication with a copy of the Petition for a one-month u  
extension of time as filed June 4, 2002.

- ☒ Transmittal form (in duplicate)

- ☐ Petition for      month Extension of Time (in duplicate)

Applicant's Name Moss and Carlo

Serial Number 10/056,420

Filing Date January 24, 2002

Examiner's Name Unassigned

Group Art Unit 1633

Title METHOD FOR TREATING AN HIV-INFECTED INDIVIDUAL BY COMBINING

IMMUNIZATION WITH STRUCTURED INTERRUPTION OF ANTI-RETROVIRAL TREATMENT

- ☐ Fee \$      Enclosed

☐ Check No.:     

- ☒ Certificate of Express Mail No.: EV 065 745 856 US

Date Mailed: June 11, 2002

Date Due: June 13, 2002

Our Docket No.: P-IM 5158

Client IRC

Attorney/Secretary MKW/rlm

Place your receiving date stamp hereon and return this card.  
FORM UA Amend/Resp

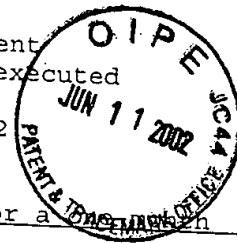


EXHIBIT A



COPY

PATENT

Our Docket: P-IM 5158

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: )  
Moss and Carlo )  
Serial No.: 10/056,420 )  
Filed: January 24, 2002 )  
For: METHOD FOR TREATING AN )  
HIV-INFECTED INDIVIDUAL )  
BY COMBINING IMMUNIZATION )  
WITH STRUCTURED )  
INTERRUPTION OF ANTI- )  
RETROVIRAL TREATMENT )

Examiner: Unassigned

Group Art Unit: 1633

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"EXPRESS MAIL" MAILING LABEL NUMBER: EV 065 745 856 US

DATE OF DEPOSIT: June 11, 2002

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING  
DEPOSITED WITH THE UNITED STATES POSTAL SERVICE  
"EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER  
37 C.F.R. 1.10 ON THE DATE INDICATED ABOVE, AND IS  
ADDRESSED TO: COMMISSIONER FOR PATENTS WASHINGTON, D.C. 20231.

Antonio De La Cruz  
(TYPED OR PRINTED NAME OF PERSON MAILING PAPER OR FEE)

Antonio De La Cruz  
(SIGNATURE OF PERSON MAILING PAPER OR FEE)

United States Patent and  
Trademark Office  
Box Sequence, P.O. Box 2327  
Arlington, VA 22202

Sir:

TRANSMITTAL

Responsive to the Notice to File Missing Parts of  
Nonprovisional Application mailed March 13, 2002, the following  
are provided:

- X (1) a copy of the NOTICE;
- X (2) a copy of the sequence listing in computer  
readable form;
- (3) a Preliminary Amendment;
- X (4) paper copy of sequence listing, pages 1  
through 2;
- X (5) a statement under 37 CFR §1.821(f) and (g);
- X (6) a copy of the Petition for a one-month Extension  
of Time as filed June 4, 2002;
- X (7) a communication regarding sequence listing.



Inventors: Moss and Carlo  
Serial No.: 10/056,420  
Filed: January 24, 2002  
Page 2

Please charge any additional fees or credit any overpayment to Deposit Account No. 03-0370. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Date: June 11, 2002

Melanie K. Webster  
Registration No. 45,201  
Telephone: (858) 535-9001  
Facsimile: (858) 535-8949

CAMPBELL & FLORES LLP  
4370 La Jolla Village Drive, 7<sup>th</sup> Floor  
San Diego, California 92122  
USPTO CUSTOMER NO. 23601



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/056,420	01/24/2002	Ronald B. Moss	P-IM 5158

23601  
CAMPBELL & FLORES LLP  
4370 LA JOLLA VILLAGE DRIVE  
7TH FLOOR  
SAN DIEGO, CA 92122

COPY

CONFIRMATION NO. 8063

## FORMALITIES LETTER



\*OC00000007628274\*

Date Mailed: 03/13/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$108.
  - \$108 for 6 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 978.
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.



For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

---

*A copy of this notice MUST be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY



# COPY

PATENT

Our Docket: P-IM 5158

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: )  
Moss and Carlo )  
Serial No.: 10/056,420 )  
Filed: January 24, 2002 )  
For: METHOD FOR TREATING AN )  
HIV-INFECTED INDIVIDUAL )  
BY COMBINING IMMUNIZATION )  
WITH STRUCTURED )  
INTERRUPTION OF ANTI- )  
RETROVIRAL TREATMENT )

Examiner: Unassigned

Group Art Unit: 1633

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"EXPRESS MAIL" MAILING LABEL NUMBER: EV 065 745 856 US

DATE OF DEPOSIT: June 11, 2002

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING  
DEPOSITED WITH THE UNITED STATES POSTAL SERVICE  
"EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER  
37 C.F.R. 1.10 ON THE DATE INDICATED ABOVE, AND IS  
ADDRESSED TO: COMMISSIONER FOR PATENTS WASHINGTON, D.C. 20231.

Antonio De La Cruz  
(TYPED OR PRINTED NAME OF PERSON MAILING PAPER OR FEE)

ATL 2-28  
(SIGNATURE OF PERSON MAILING PAPER OR FEE)

United States Patent and  
Trademark Office  
Box Sequence, P.O. Box 2327  
Arlington, VA 22202

COMMUNICATION

Responsive to the NOTICE TO FILE MISSING PARTS mailed March 13, 2002, submitted herewith is a paper copy of the sequence listing, pages 1-2, and a computer readable form of the sequence listing. Applicants also submit herewith a statement under 37 CFR § 1.821(f) and (g).

A fee in the amount of \$55.00 to cover the one-month extension of time was previously filed on June 4, 2002, a copy of which is enclosed.



Inventors: Moss and Carlo  
Serial No.: 10/056,420  
Filed: January 24, 2002  
Page 2

The Commissioner is hereby authorized to charge payment of any additional fees associated with the filing submitted herewith or credit any overpayment to Deposit Account No. 03-0370. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

June 11, 2002  
Date

Melanie K. Webster  
Melanie K. Webster  
Registration No. 45,201  
Telephone No. (858) 535-9001  
Facsimile No. (858) 535-8949

CAMPBELL & FLORES LLP  
4370 La Jolla Village Drive  
7<sup>th</sup> Floor  
San Diego, California 92122  
USPTO CUSTOMER NO. 23601



COPY

Our Docket: P-IM 5158

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:  
Moss and Carlo

Serial No.: 10/056,420

Filed: January 24, 2002

For: METHOD FOR TREATING AN HIV-  
INFECTED INDIVIDUAL BY  
COMBINING IMMUNIZATION WITH  
STRUCTURED INTERRUPTION OF  
ANTI-RETROVIRAL TREATMENT

) Examiner: Unassigned

) Group Art Unit: 1633

) I hereby certify that this correspondence is  
) being deposited with the United States  
) Postal Service as first class mail in an  
) envelope addressed to: Commissioner for Patents,  
) Washington, D.C. 20231, on June 4, 2002.

By Melanie K. Webster  
Melanie K. Webster, Reg. No. 45,201

June 4, 2002  
Date of Signature

COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231  
Attention: BOX MISSING PARTS

PETITION FOR EXTENSION OF TIME

Sir:

Applicants hereby petition for a one-month extension of time to respond to the Official Action mailed on March 13, 2002.

A check in the amount of \$548.00 is enclosed, \$55.00 of which covers the fee for the one-month extension of time.

The Commissioner is hereby authorized to charge payment of any additional fees associated with the filing submitted herewith or credit any overpayment to Deposit Account No. 03-0370. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Date: June 4, 2002

Melanie K. Webster  
Melanie K. Webster  
Registration No. 45,201  
Telephone: (858) 535-9001  
Facsimile: (858) 535-8949

CAMPBELL & FLORES LLP  
4370 La Jolla Village Drive  
7<sup>th</sup> Floor  
San Diego, California 92122  
USPTO CUSTOMER NO. 23601





SEQUENCE LISTING

COPY #10

<110> Moss, Ronald B.  
Carlo, Dennis J.

<120> Method For Treating an HIV-Infected  
Individual By Combining Immunization With Structured  
Interruption of Anti-Retroviral Treatment

<130> P-IM 5158

<140> US 10/056,420

<141> 2002-01-24

<150> US 60/264,476

<151> 2001-01-26

<160> 5

<170> FastSEQ for Windows Version 4.0

<210> 1

<211> 6

<212> DNA

<213> Artificial Sequence

<220>

<223> exemplary ISS sequence

<400> 1

gacgtt

6

<210> 2

<211> 8

<212> DNA

<213> Artificial Sequence

<220>

<223> exemplary ISS sequence

<400> 2

aacgttcg

8

<210> 3

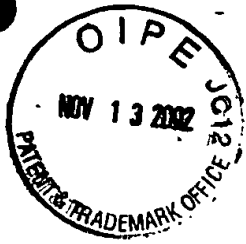
<211> 20

<212> DNA

<213> Artificial Sequence

<220>

<223> exemplary ISS sequence



<400> 3  
tccatgacgt tcctgacgtt

20

<210> 4  
<211> 22  
<212> DNA  
<213> Artificial Sequence

<220>  
<223> exemplary ISS sequence

<400> 4  
tgactgtgaa cgttcgagat ga

22

<210> 5  
<211> 21  
<212> DNA  
<213> Artificial Sequence

<220>  
<223> exemplary ISS sequence

<400> 5  
tcgtcgctgt tgcgtttct t

21



COPY # 10

PATENT  
Our Docket: P-IM 5158  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: )  
Moss and Carlo )  
Serial No.: 10/056,420 )  
Filed: January 24, 2002 )  
For: METHOD FOR TREATING AN )  
HIV-INFECTED INDIVIDUAL )  
BY COMBINING IMMUNIZATION )  
WITH STRUCTURED )  
INTERRUPTION OF ANTI- )  
RETROVIRAL TREATMENT )

Examiner: Unassigned

Group Art Unit: 1633

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"EXPRESS MAIL" MAILING LABEL NUMBER: EV 065 745 856 US

DATE OF DEPOSIT: June 11, 2002

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING  
DEPOSITED WITH THE UNITED STATES POSTAL SERVICE  
"EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER  
37 C.F.R. 1.10 ON THE DATE INDICATED ABOVE, AND IS  
ADDRESSED TO: COMMISSIONER FOR PATENTS WASHINGTON, D.C. 20231.

Antonio De La Cruz  
(TYPED OR PRINTED NAME OF PERSON MAILING PAPER OR FEE)

Antonio De La Cruz  
(SIGNATURE OF PERSON MAILING PAPER OR FEE)

United States Patent and  
Trademark Office  
Box Sequence, P.O. Box 2327  
Arlington, VA 22202

Sir:

STATEMENT UNDER 37 C.F.R. § 1.821(f) and (g)

I hereby state that the content of the paper and  
computer readable copies of the Sequence Listing, submitted in  
accordance with 37 CFR § 1.821(c) and (e), respectively, are the  
same.

I hereby state that the submission, filed in accordance  
with 37 C.F.R. § 1.821(g) herein does not include new matter.

Respectfully submitted,

June 11, 2002

Date

Melanie K. Webster

Melanie K. Webster

Registration No. 45,201

Telephone: (858) 535-9001

Facsimile: (858) 535-8949

CAMPBELL & FLORES LLP  
4370 La Jolla Village Drive  
7<sup>th</sup> Floor  
San Diego, California 92122  
USPTO CUSTOMER NO. 23601



COPY

Document: PAPER COPY OF SEQUENCE  
LISTING PAGES 1 THROUGH 2.  
Attorney Docket No: P-IM 5158

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"EXPRESS MAIL" MAILING LABEL NUMBER: EV 065 745 856 US

DATE OF DEPOSIT: June 11, 2002

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231.

Antonio De La Cruz  
Printed Name of Person Mailing Paper or Fee

Antonio De La Cruz  
Signature of Person Mailing Paper or Fee